

**Agenda item: 12**

**Paper no: 8**

<b>Title of Report:</b>	<b>Emergency Preparedness, Resilience and Response (EPRR) Annual Assurance update</b>	
<b>Status:</b>	<b>TO NOTE/ TO APPROVE (ES CCG only)</b>	
<b>Committee:</b>	<b>Governing Bodies in Common</b>	<b>Date:</b> 18/12/2019
<b>Venue:</b>	Martineau Hall, Dorking Halls	

<b>Presented by:</b>	Elaine Newton, ICS Director of Corporate Affairs and Governance - Accountable Emergency Officer	
<b>Executive Lead sign off:</b>	Elaine Newton, ICS Director of Corporate Affairs and Governance - Accountable Emergency Officer	<b>Date:</b> 10/12/2019
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### Governance

<b>Conflict of Interest:</b> The Author considers:	None identified	✓
<b>Previous Reporting:</b> (relevant committees/ forums this paper has previously been presented to)	Committee name: Audit Committees in Common Meeting date: 15/11/19 Outcome: approved	
<b>Freedom of Information:</b> The Author considers:	Open – no exemption applies. Part I paper suitable for publication.	✓

### Executive Summary

Surrey Heartlands CCGs are required to provide assurance to NHS England / Improvement in relation to the NHS EPRR Core Standards, both organisationally and for the providers it commissions. This paper provides an overview of the outcomes for EPRR assurance across Surrey Heartlands for 2019/20. It also seeks approval for East Surrey CCG to adopt key Surrey Heartlands EPRR arrangements during the transition.

### Working together across Surrey Heartlands

East Surrey CCG | Guildford and Waverley CCG | North West Surrey CCG | Surrey Downs CCG

## Implications

What is the <b>health impact/ outcome</b> and is this in line with the <b>CCGs' strategic objectives</b> ?	<ul style="list-style-type: none"> <li>Objective 1: Continue to work towards achieving sustainable systems.</li> <li>Objective 2: Develop collaborative working and organisational change, at both place and scale.</li> <li>Objective 5: Safe, effective care providing the best possible health and care outcomes and patient experience.</li> </ul>
What is the <b>financial/ resource</b> required?	<ul style="list-style-type: none"> <li>No implication</li> </ul>
What <b>legislation, policy or other guidance</b> is relevant?	<ul style="list-style-type: none"> <li>Civil Contingencies Act 2004</li> <li>Health and Social Care Act 2012</li> <li>National EPRR Framework 2015</li> <li>ISO 22301 – International Business Continuity Standard</li> </ul>
Is an <b>Equality Analysis</b> required?	<ul style="list-style-type: none"> <li>Not indicated</li> </ul>
Any <b>Patient and Public Engagement/ consultation</b> required?	<ul style="list-style-type: none"> <li>Not indicated</li> </ul>
Potential <b>risk(s)</b> ? (including reputational)	<ul style="list-style-type: none"> <li>GBAF Risk – 346 - United Kingdom withdrawal from the European Union ('EU Exit'), current rating 12 , target 8</li> </ul>

## Recommendation(s)

<ol style="list-style-type: none"> <li>(1) <b>TO NOTE</b> the performance of SH CCGs and commissioned providers through the 2019/20 EPRR Assurance process.</li> <li>(2) <b>TO NOTE</b> Surrey Heartlands activity in relation to emergency preparedness, resilience and response over the past year.</li> <li>(3) <b>For East Surrey CCG only: TO APPROVE</b> the adoption of the Surrey Heartlands EPRR and Business Continuity Policies and supporting plans until the documents are updated in light of the planned merger.</li> </ol>
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## Next Steps

<ol style="list-style-type: none"> <li>(1) To continue emergency preparedness, resilience and response activity for Surrey Heartlands CCGs through anticipated merger into a single CCG and development of the Surrey Heartlands Integrated Care System.</li> </ol>
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## **1. Background**

The annual Emergency Preparedness, Resilience and Response (EPRR) Assurance Process is designed to provide NHS England and NHS Improvement with evidence that local NHS Commissioners and Provider Organisations have robust arrangements in place to respond effectively to potentially disruptive events or emergencies that may adversely affect patients and/or local communities. In addition to completing a self-assessment, CCGs are required to conduct the assurance process for local healthcare providers where they are the lead commissioner. This year this includes a high level review of the business continuity plans for a sample of GP Practices across Surrey Heartlands.

This report provides an update in relation to EPRR activity over the past year as well as reporting on compliance with the core standards as part of the 2019/20 Assurance process.

## **2. Surrey Heartlands CCGs EPRR Assurance Update 2019/20**

The ICS Director of Corporate Affairs and Governance remains the nominated Accountable Emergency Officer for Surrey Heartlands CCGs, now also including East Surrey CCG, and oversees activity to ensure preparedness. The EPRR team and on call rotas have been restructured over the past year to meet the expanding requirements of preparedness and respond to Surrey Heartlands operating as a recognised Integrated Care System (ICS).

### **2.1 Emergency Preparedness**

A range of policies and plans have been developed to support staff when dealing with an event or emergency. These include the [EPRR Policy](#), a common Incident Management Plan and scenario specific response plans, such as for dealing with adverse weather or pandemic flu. All these plans and resources are available to on-call staff via the secure multi-agency information sharing platform, [Resilience Direct](#).

A revised on-call rota has been in place since January 2019, which ensures that suitably trained and experienced staff are available on a 24/7 basis to manage strategic, tactical and specialist EPRR issues as they arise. All on-call staff have completed the minimum training requirements and are encouraged to engage in exercises and other opportunities to build and maintain their competence. A summary of the training and exercising completed by SH CCGs staff is included in Appendix A. The on-call arrangements are now under further review following the recent transfer of responsibilities associated with East Surrey CCG.

Surrey Heartlands CCGs EPRR team continue to liaise with health and multi-agency partners through the Local Health Resilience Partnership (LHRP) and Local Resilience Forum (SLRF) structures. This ensures effective co-operation and information sharing with partners, which discharges the CCGs' statutory duties under the Civil Contingencies Act 2004 as a '[Category 2](#)' responder. Furthermore, the team have developed a framework to assist GP Practices with their EPRR preparedness, in order to increase and strengthen ICS capabilities.

## **2.2 Resilience - Business Continuity**

The Surrey Heartlands CCGs [Business Continuity Management Policy](#) was approved by the Governing Bodies in Common in September 2019. Business groups across the CCGs have been working with the EPRR team to ensure business impact analysis (BIAs) are completed to identify our critical activities, and have completed business continuity plans (BCPs) on the new template. The revised policy, BIAs and BCPs ensure that the CCGs are resilient and compliant with relevant legislation. The latest revisions of the policy, BIAs and BCPs have included considerations of the potential impacts of a 'no deal' withdrawal from the European Union. It is pleasing to note that all teams had suitable arrangements in place prior to the planned withdrawal in October 2019.

The business continuity management system requires regular review of policy, BIAs and BCPs. The EPRR team will continue to support business groups through an ongoing testing, exercising, audit and review process. The BIAs and BCPs will need to be reviewed to reflect any organisational changes that come about with the anticipated merger. The EPRR team are already working to align business continuity arrangements across SHCCGs and East Surrey CCG ahead of the merger planned for April 2020.

The EPRR team have been working with partners in primary care to develop robust incident management and business continuity arrangements. A new incident management / business continuity plan template has been developed specifically for primary care providers. Workshops and consultations are ongoing but so far the template and the offer of support from the EPRR team has been very well received by practice managers and CCG colleagues supporting primary care.

## **2.3 Response**

There have been a range of incidents and events that have required a response from SH CCGs since the last update and these are summarised in Appendix B. They have been followed by debriefs, with the lessons identified, translated into action plans as well as being used to inform the EPRR work programme.

Of particular note was the Chiddingfold GP surgery fire, where SHCCGs effectively managed the consequences, using experiential learning from the Weybridge fire in 2017. Furthermore, the principles of business continuity management arrangements have been implemented on a number of occasions to mitigate local disruptions.

## **2.4 SH CCGs EPRR Assurance**

The Surrey Heartlands CCGs self-assessment has been submitted against the 43 applicable EPRR core standards and has been rated overall as fully compliant by NHS England and NHS Improvement. This is an improvement on 2018 when there were five partially compliant standards. There is also a 'deep dive' process and this year it focussed on severe weather and climate change against 20 standards, with only one reported as partially compliant relating to long-term adaption for climate change. Actions arising from the assurance process have been included in the EPRR work programme.

East Surrey CCG was assessed for compliance against the EPRR core standards as part of the Sussex and East Surrey CCGs Alliance submission, which was reviewed by NHS

England and NHS Improvement on 7<sup>th</sup> November 2019 and were also found to be fully compliant.

## **2.5 East Surrey CCG transitional arrangements**

Key documents to support the EPRR arrangements for East Surrey CCG are currently written as being part of the wider Sussex Alliance of CCGs. This means that their EPRR policy indicates Terry Willows as the AEO and their Business Continuity Management System and Plan outline activation and escalation through the Sussex Alliance on-call structures. It is therefore recommended that the East Surrey CCG Governing Body adopt the existing Surrey Heartlands CCGs [EPRR](#) and [Business Continuity Management](#) Policies, which are supported by a range of response plans. This will provide clarity on the AEO for East Surrey CCG and ensure effective EPRR arrangements are in place until the anticipated merger into a single organisation is completed.

## **3. SH CCGs Provider EPRR Assurance update**

### **3.1 CCG review of provider assurance**

Surrey Heartlands CCGs are required by NHS England and NHS Improvement to undertake the assurance of providers for which we are the lead commissioner (five in total). In addition, Surrey Heartlands provided assurance for the two providers that East Surrey CCG lead on, as part of our collaborative agreement. The outcomes of the provider assessments are set out in the table below. Each provider is required to adhere to a number of core standards, dependent on the type of organisation, and must submit evidence to support their assessment of compliance. In addition to the core standards, SECAMB also needs to report against a range of interoperable standards that support cross border working and a range of national capabilities provided within ambulance trusts.

The compliance of other providers including Epsom and St. Helier, South Central Ambulance Service (PTS provider) and Care UK are coordinated by other CCGs with input from Surrey Heartlands.

Provider	Organisation Type	Compliance level 2018	Compliance level 2019	Number of applicable standards
Ashford and St. Peter's Hospital	Acute	Substantial	Substantial	64
Central Surrey Health	Community	Substantial	Substantial	54
First Community	Community	Substantial	Substantial	54
Royal Surrey Hospital	Acute and community	Partial	Substantial	64
South East Coast Ambulance Service	Ambulance Trust	Partial	Substantial	49 EPRR standards
		Partial	Substantial	163 Interop standards
Surrey and Borders Partnership	Mental Health	Non-compliant	Substantial	54
Surrey and Sussex Healthcare	Acute	Substantial	Substantial	64

The SHCCGs EPRR team has worked with provider teams to address gaps identified through the 2018 assurance process. Staff from Surrey and Borders Partnership, Royal Surrey Hospital and SECamb in particular should be recognised for the improvements made to achieve substantial compliance against the EPRR core standards this year. Naturally there is always more to be done, so the SHCCGs team will continue to work with providers to improve emergency preparedness within the Surrey health and multi-agency sectors. Furthermore, all providers were required to rate their compliance against 20 deep dive standards focussing on severe weather and climate change. SECamb had a further 15 deep dive standards relating to ambulance resilience. These standards do not contribute towards the overall compliance rating.

In addition to reviewing the documentary evidence supporting each provider's self-assessment, confirm and challenge meetings were held where clarification was sought on issues arising in order to agree the final draft compliance level. The results of the review of provider assurance were presented to NHS England and NHS Improvement on 28<sup>th</sup> October 2019 and are now confirmed.

As part of the process a sample review of Primary Care business continuity plans was undertaken using the [NHS England Business Continuity Audit checklist](#). There has clearly been a lot work undertaken to get plans in place across practices and, when incidents have occurred, actions have been implemented to mitigate the impact on the delivery of services. However, there were a range of different templates and approaches identified during the review with limited evidence of compliance with good practice promoted by NHS England. In order to support Primary Care colleagues, Surrey Heartlands CCGs are working with Practice Managers to develop a common approach as outlined in 2.2 above.

## Appendix A – SHCCGs Training and Exercising Summary

Date	Location	Training Course	Attendance / Booked
10/04/2019	SD	Loggists Refresher	3
26/04/2019	NWS	Enquiries - After the Event	31
22/05/2019	G&W	Tactical Leadership	5
21/06/2019	NWS	Strategic Leadership	9
24/06/2019	NWS	Tactical Leadership	5
17 & 18 July 2019	SD & NWS	Strategic Leadership	11
29/07/2019	G&W	Tactical Leadership	9
27/09/2019	G&W	Loggist Training	5
30/09/2019	NWS	Enquiries - After the Event	15
05/12/2019	NWS	Tactical Leadership	6
16/01/2020	NWS	Tactical Leadership	5
27/01/2020	NWS	Loggists Training	1
21/02/2020	ES	Strategic Leadership	1
Feb-20	TBC	Enquiries - After the Event	

Date	Exercise
March 2019	SHCCGs Business Continuity Management Exercise – EU Exit preparedness
June 2019	Surrey Local Resilience Forum (SLRF) Control of Major Accident Hazard (COMAH) Exercise. This is a statutory exercise to test plans for a risk site in Surrey.
July 2019	SHCCGs Business Continuity Management Exercise – care home
September 2019	Surrey Heartlands ICS EU Exit preparedness exercise
October 2019	SLRF Exercise Comment – multi-agency tactical command
October 2019	NHSE/I SE EU Exit preparedness exercise
January 2020	SHCCGs Business Continuity Management Exercise – severe weather

## Appendix B – SHCCGs Summary of response activity

Date	Exercise
January 2019	Chiddingfold GP surgery fire
January 2019	GP power outage following small fire
February 2019	Team business continuity arrangements implemented ahead of forecast snowfall
June 2019	Water outage – Hampton Waterworks
July 2019	Heatwave plan deployment
July, October & November 2019	Deployment of flood defences at Cedar Court due to high river levels